



**North Carolina Department of Health and Human Services
Division of Mental Health, Developmental Disabilities and Substance Abuse Services**

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Governor

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Courtney M. Cantrell, PhD
Acting Division Director

May 5, 2014

MEMORANDUM

TO: LME-MCO Points of Contact
LME-MCO Directors

FROM: Sandee Resnick, Accountability Team Leader

RE: 2013/2014 Monitoring of Substance Abuse and Community Mental Health
Services Federal Block Grants

Between May 19, 2014 and June 30, 2014, the NC Division of Mental Health, Developmental Disabilities and Substance Abuse Services will conduct LME-MCO compliance monitoring for a variety of elements related to federally funded Substance Abuse and Mental Health Programs.

Block Grant monitoring consists of a review of requirements for the programs listed below. They also include record reviews for specific service requirements. For Fiscal Year 2013/2014, the LMEs/MCOs, for all providers of the program and individual record reviews indicated below, must ensure that there is sufficient documentation present at the review site to adequately respond to the questions per review tool. They must also ensure that staff familiar with the records are present at the review site.

Program Reviews

- **CASAWORKS**
- **SAPTBG PREVENTION**
- **SAPTBG TREATMENT PROGRAM (for women who are pregnant and/or have dependent children)**
- **SAPTBG TREATMENT PROGRAM (for IV Drug Users)**
- **WORK FIRST**
- **CMHSBG**

Individual Record Reviews

- **CASAWORKS Individual**
- **SAPTBG Individual**
- **SAPTBG Individual IV Drug User**

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- **JJSAMHP (Formerly MAJORS)**
- **WORK FIRST Individual**
- **WOMEN'S SET ASIDE**
- **CMHSBG Individual**

Each LME-MCO will need to generate a method to randomly select records from each provider agency. Once the method is established, the LME-MCO will contact the provider to inform them which records are to be at the review. When selecting records of providers, please do not include records from Licensed Independent Practitioners (LIPs). Please inform the team leader for your review (listed below), prior to your review date, of the method used to randomly select records.

The LME-MCO will provide, on site, (5) five records from each contract provider of services listed below that show compliance with the questions listed on the monitoring tool. These individuals should have been admitted to the program after 7/1/13.

- **CASAWORKS**
- **JJSAMPH (Formerly MAJORS)**

In addition to the above, the LME-MCOs will also provide, on site, the records as listed below:

- **SAPTBG Individual:** The LME-MCO will provide, on site, from each SAPTBG contract provider (2) two records from each of the following special categories: Adult and Child. These individuals should have been admitted to the program after 7/1/13.
- **SAPTBG Individual IV Drug User:** The LME-MCO will provide, on site, from each SAPTBG contract provider (5) five records from IV Drug User, These individuals should have been admitted to the program after 7/1/13.
- **WOMENS' SET ASIDE FUNDS (WSAF):** The LME-MCO will provide, on site, (2) two record from each WSAF contract provider from each of the following special categories: dependent children and pregnant women, for a total of four records. If one of the special categories is not available, please provide 3 within the remaining category that show compliance with the questions listed on the monitoring tool. These individuals should have been admitted to the program after 7/1/13.
- **WORK FIRST:** The LME-MCO will provide, on site, from each Work First contract provider (2) two records from each Work First, Food Stamps, and Child Protective Services for a total of (6) six records. If one of the special categories is not available, please provide (3) three within one of the remaining categories that show compliance with the questions listed on the monitoring tool. These individuals should have been admitted to the program after 7/1/13.
- **Individual Clinical Monitoring:** A reviewer will choose (2) two records from any of the above randomly pulled records that are on site.

In addition to the SAPTBG monitoring we will conduct a review of the Community Mental Health Services Block Grant (CMHSBG). The LME-MCO must ensure that sufficient documentation to adequately respond to the questions on the CMHSBG Program tool is present at the review site.

For CMHSBG Individual reviews, the LME-MCO must provide a total of (3) three service records from 10 separate contract providers for a total of 30 service records with a representation of both child and adult services from contract providers who received funding for Fiscal Year 2013/2014. The LME-MCO must ensure that sufficient documentation to adequately respond to the questions on the Program tool is present at the review site.

The review tools and guidelines for this review will be posted on the DMH/DD/SAS website (<http://www.dhhs.state.nc.us/mhddsas/>) by May 7, 2014. Expectations are that a single review will be conducted for each LME-MCO at a site designated by the LME-MCO.

Team leaders have been assigned to each LME-MCO and will be in contact with the appropriate LME-MCO representative to schedule their review. The reviews will be concluded by June 30, 2014. Team leader assignments are as follows:

Jeff Howett

East Carolina Behavioral Health
Alliance Behavioral Healthcare
CoastalCare
Smoky Mountain Center
Partners Behavioral Health Management

Barbara Flood

Cardinal Innovations Healthcare Solutions
Sandhills Center for MH/DD/SAS
Eastpointe
CenterPoint Human Services
MeckLINK

This year will be the first we use electronic tools instead of paper. Therefore, we will need access to wall outlets for our laptops. Please consider this when assigning a room for the reviews. If you or your providers have electronic records, there may be a need to generate a paper copy of a document that we can scan into our computer files. We thank you in advance for your assistance with this.

At the completion of the Block Grant reviews, the team will review items found out of compliance. This is an informal notification of out-of-compliance findings. Please note that revisions to the on-site findings may be made following later review of documentation by a monitoring Team Leader.

If you have any questions regarding the upcoming monitoring please feel free to call or email Jeff Howett at 252-560-1085, Jeff.Howett@dhhs.nc.gov or Barbara Flood at 919-218-3872, Barbara.flood@dhhs.nc.gov

CC: DMH/DD/SAS Executive Leadership Team
Mabel Mcglothlen, LME Systems Performance Team
Mary Hooper, NC Council of Community Programs